

EXHIBIT “C”



TO: Neal Brickman, Esq.
Nirav S. Shah, Esq.

From: Leonie A. Feliciano
Senior Case Administrator

Subject: FINRA Dispute Resolution Services Arbitration Number 22-02539
Simon D. Andriesz vs. BGC Financial, L.P., Cantor Fitzgerald & Co., Jean Pierre Aubin, Michael Carl Sulfaro, et al.

Date: July 5, 2024

Please be advised that the Director of Dispute Resolution Services has determined that the submissions made by Simon David Andriesz do not comply with the grounds enumerated in Rule 12905/13905.

Accordingly, the submissions will not be sent to the arbitrators.

If you have any questions, please do not hesitate to contact me at 212-858-3928 or by email at Neprocessingcenter@finra.org.

LZH:Izh:LC66D
idr: 09/16/2022

RECIPIENTS:

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On Behalf Of: BGC Financial, L.P.; Cantor Fitzgerald & Co.; Jean Pierre Aubin; Paul Marc Pion; William Michael Shields; Mark Webster